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Communications and Information

RECORDS CUSTODIAN CHECKLIST

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This checklist complements Air Force Instruction (AFI) 33-322, *Records Management Program*. This checklist reflects 50th Space Wing (50 SW) general guidance and responsibilities for the effective and efficient management of the Records Management program and extends the guidance of Air Force Space Command. This checklist applies to all 50 SW organizations, to include Geographically Separated Units (GSUs). It does not apply to the Air National Guard or the Air Force Reserves. Ensure that all records created as a result of processes prescribed in this publication are maintained in accordance with AFMAN 37-123 (will convert to AFMAN 33-363), *Management of Records*, and disposed of in accordance with the Air Force Records Disposition Schedule (RDS) located at <https://afrims.amc.af.mil/> and AFI 37-138 (will convert to AFI 33-364), *Records Disposition-Procedures and Responsibilities*.

1. References have been provided for each critical item. 2
2. This publication establishes a baseline checklist. 2

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1. References have been provided for each critical item. Critical items have been kept to a minimum, and are related to public law, security, and/or mission accomplishment. While compliance with non-critical items is not rated, those items help gauge the effectiveness/ efficiency of the function.
2. This publication establishes a baseline checklist. The Command Inspector General will also use this checklist during applicable assessments. Use the attached checklist as a guide only. **50th Space Wing level checklists will not be supplemented.** Units produce their own stand-alone checklist as needed to ensure an effective and thorough review of unit programs. Units are encouraged to contact the 50 SW Records Manager, 50 SCS/SCSR, 300 O'Malley Ave, Ste. 7, Schriever AFB CO 80912, this checklist to recommend additions or changes. Use AFSPC Form 24, *Document Review Comments*, which is located on the Peterson AFB Intranet at <https://halfway.peterson.af.mil/pubs/formpub.htm>. See **Attachment 1**.

JAMES C. HUTTO, Col, USAF
Commander

Attachment 1

RECORDS MANAGEMENT PROGRAM

Table A1.1. 50 SW Unit Level Records Custodian (RC) Checklist.

PRINT RC NAME: _____ SIGNATURE: _____ ORGANIZATION: _____ TELEPHONE NUMBER: _____ DATE RC CHECKLIST ACCOMPLISHED: _____			
RECORDS MANAGEMENT UNIT LEVEL RC MISSION STATEMENT: Manages the Records Management Program at the Unit Level (Office of Record). NOTE: References are from AFPD 33-3, <i>Information Management</i> , AFI 33-322, <i>Records Management Program</i> , AFI 33-322_AFSPC, <i>Records Management Program</i> , AFI 33-322_50SW, <i>Records Management Program</i> , AFMAN 37-123, <i>Management of Records</i> , AFI 37-138, <i>Records Disposition-Procedures and Responsibilities</i> , 50 SWI 90-201, <i>Self Inspection Program</i> , Air Force Special Interest Item 06-3, <i>Records Management</i> and AFSPCCL 33-22, <i>Records Management Program</i> , unless otherwise noted.			
Section 1. Appointments.			
<i>Each base level unit, principal staff office within an Air Force organization, or contractor is required to appoint a Records Custodian (RC). Ref: Air Force Instruction (AFI) 33-322, paragraphs 7, 8.4 and AFI 33-322_50SW, paragraph 9</i>			
1.1. Appointments - CRITICAL ITEMS:	YES	NO	N/A
1.1.1. Has the Chief of the Office of Record (COR) appointed you to be a Records Custodian (RC) by memorandum? Ref: AFI 33-322, paragraph 8.4, AFI 33-322_AFSPC, paragraph 8.7 and AFI 33-322_50SW, paragraph 9. REMARKS:			
1.1.2. Is a copy of your RC appointment memorandum maintained in the first file of the file plan under? Ref: AFI 33-322_50SW, paragraph 9. REMARKS:			

1.1.4. Has the Air Force Records Information Management System (AFRIMS) been updated to identify you as the RC for your office of record? Ref: AFMAN 37-123, Management of Records , Chapter 2, paragraph 2.2.1 and AFI 33-322_50SW, paragraphs 7.1.4 and 7.1.5.			
REMARKS:			
1.1.5. If AFRIMS has not been updated, have you contacted your FARM or the RM? Ref: AFMAN 37-123, Management of Records , Chapter 2 and AFI 33-322_50SW, paragraph 9.1.7.1.			
REMARKS:			
Section 2. Governing Directives.			
<i>All RCs are required to be familiar with records management governing directives and to implement records maintenance, use, and disposition policies and procedures for records maintained. Ref: Air Force Instruction (AFI) 33-322, Records Management Program, applicable directives.</i>			
2.1. Governing Directives - CRITICAL ITEMS:	YES	NO	N/A
2.1.1. Have you read Air Force Policy Directive (AFPD) 33-3, <i>Information Management</i> ? AFI 33-322_50SW, paragraph 9.1.			
REMARKS:			
2.1.2. Are you familiar with AFI 33-322, <i>Records Management Program</i> and the Air Force Space Command (AFSPC) Supplement 1 (SUP1)? Ref: AFI 33-322_50SW, paragraph 9.1.			
REMARKS:			
2.1.3. Are you familiar with Air Force Manual (AFMAN) 37-123, Management of Records , and the AFSPC SUP1? Ref: AFI 33-322_50SW, paragraph 9.1.			
REMARKS:			
2.1.4. Are you familiar with AFI 37-138, Records Disposition Procedures , and the AFSPC SUP1? Ref: AFI 33-322_50SW, paragraph 9.1.			
REMARKS:			

2.1.5. Are you familiar with AFI 33-322_50SW? Ref: AFI 33-322_50SW, paragraph 9.1.			
REMARKS:			
2.1.6. Are you familiar with the AF Electronic Records Management (ERM) Solution? Located on the Schriever AFB Intranet, Information Management, web page. Ref: AFI 33-322_50SW, paragraph 9.1.			
REMARKS:			
2.2. Points of Contacts (POCs) - NON-CRITICAL.	YES	NO	N/A
2.2.1. Do you know who your Base Records Manager is? 50 SCS/SCSI 301 O'Malley Ave, Suite 37 Schriever AFB, CO 80912-3037 (719) 567-2618 DSN: 560-2618			
REMARKS:			
2.2.2. Do you know who your Contract Records Manager is? 50 SCS/SCSR 300 O'Malley Ave, Suite 7 Schriever AFB, CO 80912-3007 (719) 567-5302 DSN: 560-5302			
REMARKS:			
2.2.3. Do you know who your Chief of the Office of Record (COR) is?			
REMARKS:			
2.2.4. Do you know who your Functional Area Records Manager (FARM) is?			
REMARKS:			

Section 3. Records Management Training			
<p><i>All Functional Area Records Managers (FARM) and Records Custodians (RC) must be trained within 3 months of appointment by the Records Manager (RM). This training covers Air Force Records Information Management System (AFRIMS), Electronic Records Management (ERM), FARM and RC responsibilities, and 50 SW local policies and procedures. Ref: AFI 33-322, paragraph 6.3.1 and paragraph 9.</i></p>			
3.1 Records Management Training - CRITICAL ITEMS:	YES	NO	N/A
<p>3.1.1. Have you completed the Records Management General Awareness Level I Computer Based Training (CBT) located on the AF Portal? Ref: AFI 33-322, paragraph 6.3.1 and AFI 33-322_50SW, paragraph 9.1.2.</p> <p>REMARKS:</p>			
<p>3.1.2. Have you completed the Records Management Intermediate Level II CBT located on the AF Portal? Ref: AFI 33-322, paragraph 6.3.1 and AFI 33-322_50SW, paragraph 9.1.2.</p> <p>REMARKS:</p>			
<p>3.1.3. Have you ensured that a copy of your records management training certificates, 50 SW Records Management training, Records Management Level I and II training, have been filed in the first file of the file plan? Ref: AFI 33-322_50SW, paragraph 9.1.4.</p> <p>REMARKS:</p>			
<p>3.1.4. Have you forwarded a copy of the Records Management Intermediate Level I and II CBT certificates to your FARM? Ref: AFI 33-322, paragraph 6.3.1 and AFI 33-322_50SW, paragraph 9.1.3.</p> <p>REMARKS:</p>			
<p>3.1.5. Did you receive 50 SW Records Management training within 30 days of being appointed? Ref: AFI 33-322, paragraph 6.3.1 and AFI 33-322_50SW, paragraph 9.1.1.</p> <p>REMARKS:</p>			
<p>3.1.6. As the RC, do you understand the functional mission of the office that the records support? Ref: AFI 33-322, paragraph 9.</p> <p>REMARKS:</p>			

3.1.7. As the RC, do you know the purposes the records serve? Ref: AFI 33-322, paragraph 9.			
REMARKS:			
3.1.8. Has your FARM updated your records management training date in AFRIMS? Ref: AFI 33-322, paragraph 7.6, AFMAN 37-123, Management of Records , Chapter 2, AFRIMS and AFI 33-322_50SW, paragraph 7.1.4 and 7.1.5.			
REMARKS:			
3.1.9. If your training date has not been updated in AFRIMS, have you notified your FARM? Ref: AFI 33-322, paragraph 7.6, AFMAN 37-123, Management of Records , Chapter 2, AFRIMS and AFI 33-322_50SW, paragraph 9.1.7.1.			
REMARKS:			
3.1.10. Have you forwarded a copy of the records management training certificate to your supervisor to ensure that your training record is updated? Ref: AFI 33-322, paragraph 6.3.4.			
REMARKS:			
Section 4. Air Force Space Command Inspection Checklist (AFSPCCL 33-22), <i>Records Management Program</i> and AF Records Management Special Interest Item 06-3 Checklist, (AFSII 06-3), <i>Records Management</i>.			
<i>These checklists reflect Command General guidance and responsibilities for the effective and efficient management of the Records Management Program. The Command Inspector General will also use these checklists during applicable assessments.</i>			
4.1. AFSPCCL 33-22, Records Management Program – CRITICAL ITEMS:	YES	NO	N/A
4.1.1. Are you running Air Force Space Command Checklist (AFSPCCL) 33-22, Records Management Program , in your Self-Inspection Program (SIP) IAW 50 SWI 90-201, Self Inspection Program , paragraph 6?			
REMARKS:			

<p>4.1.2. Has a copy of the completed AFSPCCL 33-22 been forwarded to your FARM each time it is run in the SIP? Ref: AFI 33-322_AFSPC, paragraph 6.1.9.4. (Added) and AFI 33-322_50SW, paragraph 9.1.5.1.</p> <p>REMARKS:</p>			
<p>4.2. Air Force Records Management Program Special Interest (SII) Item 06-3 Checklist, <i>Records Management</i> - CRITICAL ITEMS: (Effective through Jan 07)</p>	YES	NO	N/A
<p>4.2.1. Have you run the SII 06-3, Records Management Checklist within the last three months? Ref: Air Force Special Interest Item 06-3, dated 17 Nov 05 and AFI 33-322_50SW, paragraph 9.1.5.2.</p> <p>REMARKS:</p>			
<p>4.2.2. Is your completed AFSIICL 06-3 filed under Table & Rule 37-15 R 31.00, <i>Self-Inspection Checklists</i>? Ref: AFRIMS Records Disposition Schedule (RDS) and AFI 33-322_50SW, paragraph 9.1.5.2.</p> <p>REMARKS:</p>			
<p>4.2.3. Has a copy of the completed AFSIICL 06-3 been forwarded to your FARM each time it is run? Ref: AFI 33-322_AFSPC, paragraph 6.1.9.4 (Added), and AFI 33-322_50SW, paragraph 9.1.5.2.</p> <p>REMARKS:</p>			

Section 5. Geographically Separated Units (GSUs).

Record professionals at geographically separated locations are responsible for the state-of-health of the records management program at their location. Host tenant support agreements assist the geographically separated records professionals but cannot be relied upon to ensure a successful records management program.

An aggressive self-inspection program, functional self-inspection, Inspector General (IG) reports and Staff Assistance Visits (SAVs) are tools that ensure a successful records management program at geographically separated locations.

The parent base Functional Area Records Manager (FARM) is the single most important key to the records management program at geographically separated locations. Geographically separated record custodians must work with their parent base FARM. Ref: AFI 33-322, paragraph 6.1.9.4 (AFSPC Added) and paragraph 11.

5.1. GSUs - NON-CRITICAL ITEMS:	YES	NO	N/A
5.1.1. Does your unit have a Host/Tenant Support Agreement (HTSA) with your host base? Ref: AFI 33-322, paragraph 11. REMARKS:			
5.1.2. Are you receiving the required administrative or logistical support from the Host Base Records Manager? Ref: AFI 33-322, paragraph 11. REMARKS:			
5.1.3. Do you know to report any lack of support from the host base to your parent base FARM or RM? AFI 33-322, paragraphs 9.6 and 11. REMARKS:			

Section 6. Staff Assistance Visits (SAVs).			
<i>The most current, approved 50th Space Wing Record Custodian Checklist (50SWCL) 33-01, 50th Space Wing Checklist, is required to be used for all RC SAVs. Ref: AFI 33-322_AFSPC, paragraph 6.1.9.4 (added) and AFI 33-322_50SW, paragraphs 7.4 and 9.1.6.</i>			
6.1. SAV - CRITICAL ITEMS:	YES	NO	N/A
6.1.1. Has your office of record received a SAV from your FARM within the past 12 months? AFI 33-322_AFSPC, paragraph 6.1.9, 6.1.9.4 (added) and 7.4 and AFI 33-322_50SW, paragraphs and 7.4 and 9.1.6. <i>State date of SAV and inspector/title in remarks.</i> REMARKS:			
6.1.2. If the office of record has not received a SAV within the past 12 months, did you notify your COR, FARM, BRM or RM that a SAV was overdue? AFI 33-322_AFSPC, paragraph 6.1.9.4, 7.4 and AFI 33-322/50SW SUP1, paragraphs and 7.4 and 9.1.6. <i>State date notified and name/title of the person you notified in the remarks.</i> REMARKS:			
6.2. SAV Out Brief - NON-CRITICAL ITEMS:	YES	NO	N/A
6.2.1. Did you request that the inspector provide an out brief to the COR? Ref: AFI 33-322_AFSPC, paragraph 7.4.1 (added) and AFI 33-322/50SW SUP1, paragraph 9.1.6.2. REMARKS:			
6.2.2. Did the Inspector conduct an out brief with the COR on the outcome of the SAV? Ref: AFI 33-322_AFSPC, paragraph 7.4.1 (added) and AFI 33-322/50SW SUP1, paragraph 9.1.6.2. REMARKS:			

6.3. SAV Report - NON-CRITICAL ITEMS:	YES	NO	N/A
<p>6.3.1. Did you receive an official copy of the SAV report with the <i>50SWCL 33-01, 50th Space Wing Checklist</i>? Ref: AFI 33-322_AFSPC, paragraphs 6.1.9.4 and 7.4.1 (added).</p> <p>REMARKS:</p>			
<p>6.3.2. If the SAV was performed by anyone other than your FARM did you send a copy of the SAV report to your FARM within 30 days of the SAV being conducted? Ref: AFI 33-322_AFSPC, paragraphs 6.1.9.4, 7.4.1 (added) and AFI 33-322_50SW, paragraphs 7.4.2.1 and 9.1.6.4.</p> <p><i>State date notified and name/title of the person you notified in the remarks.</i></p> <p>REMARKS:</p>			
<p>6.3.3. Has all documentation for the SAV (which includes any follow-up SAVs and discrepancy corrections) been filed in the first file of the file plan? AFI 33-322_50SW, paragraph 9.1.6.3.</p> <p>REMARKS:</p>			
6.4. SAV Minor Discrepancies - NON-CRITICAL ITEMS:	YES	NO	N/A
<p>6.4.1. If minor discrepancies were identified in the SAV report, were they corrected within 30 days? AFI 33-322_AFSPC, paragraphs 6.1.9.4, 7.4 and AFI 33-322/50SW SUP1, paragraph 9.1.6.1.</p> <p>REMARKS:</p>			
<p>6.4.2. Did you send a report of the corrective actions you took to your FARM within 30 days? AFI 33-322_AFSPC, paragraphs 6.1.9.4, 7.4 and AFI 33-322_50SW, paragraph 9.1.6.1.</p> <p><i>State date notified and name/title of the person you notified in the remarks.</i></p> <p>REMARKS:</p>			

6.5. SAV <i>Unsatisfactory Rating</i> - CRITICAL ITEMS:	YES	NO	N/A
6.5.1. If this office of record received an unsatisfactory rating, were the discrepancies corrected within 30 days? AFI 33-322_AFSPC, paragraphs 6.1.9.4, 7.4 and AFI 33-322_50SW, paragraph 9.1.6.1. REMARKS:			
6.5.2. Did you send a report of the corrective actions you took to your FARM within 30 days? AFI 33-322_AFSPC, paragraphs 6.1.9.4, 7.4 and AFI 33-322/50SW SUP1, paragraph 9.1.6.1. <i>State date notified and name/title of the person you notified in the remarks.</i> REMARKS:			
6.5.3. If the office of record received an unsatisfactory rating, was a follow-up SAV conducted by the inspector within a 30 day period? Ref: AFI 33-322_50SW, paragraphs 7.4.1 and 9.1.6.1. REMARKS:			
Section 7. Air Force Information Management System (AFRIMS).			
<i>Air Force Records Information Management System (AFRIMS) is mandatory Air Force-wide. It provides the tools needed to automate some of the records management and staff support functions. Ref: AFMAN 37-123, Management of Records, Chapter 2.</i>			
7.1. AFRIMS - CRITICAL ITEMS:	YES	NO	N/A
7.1.1. Have you been issued a user account to enter data into AFRIMS? Ref: AFMAN 37-123, Management of Records , paragraph 2.2.1 and AFI 33-322_50SW, paragraphs 7.1.3 and 9.1.7. REMARKS:			
7.1.2. If you have not been issued a user account for AFRIMS, have you notified your FARM? Ref: AFMAN 37-123, Management of Records , paragraph 2.2.1 and AFI 33-322_50SW, paragraphs 7.1.3 and 9.1.7. REMARKS:			

7.1.3. Have you taken proper precautions to ensure AFRIMS account information has not been compromised, i.e? User IDs or Passwords, IAW AFI 33-223, Attachment 2?			
REMARKS:			
7.2. AFRIMS File Plan - CRITICAL ITEMS:	YES	NO	N/A
7.2.1. Is AFRIMS being used to prepare your file plan? Ref: AFMAN 37-123, <i>Management of Records</i> , paragraph 2.1.			
REMARKS:			
7.2.2. Does the AFRIMS file plan include all records for which the office of record is responsible? Ref: AFI 33-322, paragraph 8.1.			
REMARKS:			
7.2.3. Is AFRIMS being used to create labels, i.e. disposition control labels or folder labels? Ref: AFMAN 37-123, <i>Management of Records</i> , paragraph 2.1.2.			
REMARKS:			
7.2.4. Do you use proper disposition to control all of the AFRIMS records for which you are responsible for? Ref: AFI 33-322, paragraph 8.1.			
REMARKS:			
7.2.5. Have you ensured that electronic records are referenced in the location column of the AFRIMS file plan? Ref: AFMAN 37-123, <i>Management of Records</i> , paragraph 2.2.			
REMARKS:			
7.2.6. Have you ensured the record media type in AFRIMS corresponds with the media type of the file being maintained, i.e. electronic? Ref: AFMAN 37-123, <i>Management of Records</i> , paragraph 2.2 and 7.1.1.			
REMARKS:			

7.3. AFRIMS <i>Classified / Privacy Act (PA)</i> - CRITICAL ITEMS:	YES	NO	N/A
7.3.1. Have you taken proper steps to ensure sensitive or classified information has not been entered into AFRIMS? Ref: AFMAN 37-123, <i>Management of Records</i> , paragraph 2.1.1. REMARKS:			
7.3.2. Have you taken proper steps to ensure Privacy Act material has not been entered into AFRIMS? Ref: AFMAN 37-123, <i>Management of Records</i> , paragraph 2.1.1. REMARKS:			
7.4. AFRIMS <i>Vital Records</i> - CRITICAL ITEMS:	YES	NO	N/A
7.4.1. Have you identified vital records in AFRIMS? Ref: AFMAN 37-123, <i>Management of Records</i> , Chapter 2, Attachment 1 and Attachment 2, paragraph 1z. REMARKS:			
7.4.2. Are copies of vital records that are identified in AFRIMS being maintained in a geographically separated location from the main file drawer? Ref: AFI 37-138_AFSPC, Attachment 4, paragraph A45.1. REMARKS:			
7.5. AFRIMS <i>File Plan Approval</i>- CRITICAL ITEMS:	YES	NO	N/A
7.5.1. Have you forwarded a copy of your proposed AFRIMS file plan to your FARM for review prior to being submitted to the Schriever AFB RM for administrative approval? Ref: AFMAN 37-123, <i>Management of Records</i> , Chapter 2, paragraph 2.2.1 and AFI 33-322_50SW, paragraphs 9.1.8 and 9.1.8.1. <i>The AFRIMS file plan is not approved until the RM administratively approves it and the COR signs the file plan (paper copy).</i> REMARKS:			

<p>7.5.2. Has your AFRIMS file plan been administratively approved by the Schriever AFB RM? Ref: AFMAN 37-123, Management of Records, Chapter 2, paragraph 2.2.1 and AFI 33-322_50SW, paragraph 9.1.8.1.</p> <p><i>The AFRIMS file plan is not approved until the RM administratively approves it and the COR signs the file plan (paper copy).</i></p> <p>REMARKS:</p>			
<p>7.5.3. Has the COR signed your AFRIMS approved file plan? Ref: AFMAN 37-123, Management of Records, Chapter 2, paragraph 2.2.1 and AFI 33-322_50SW, paragraph 9.1.8.1.</p> <p><i>The AFRIMS file plan is not approved until the RM administratively approves it and the COR signs the file plan (paper copy).</i></p> <p>REMARKS:</p>			
<p>7.5.4. Have you sent a signed copy of the approved AFRIMS file plan to your FARM for inclusion in the FARM continuity binder? Ref: AFI 33-322_50SW, paragraph 9.1.8.2.</p> <p>REMARKS:</p>			
<p>7.5.5. Geographically Separated Unit (GSU). Is your AFRIMS file plan identified in the Schriever AFB AFRIMS database? Ref: AFMAN 37-123, Management of Records, Chapter 2, paragraph 2.2.1 and AFI 33-322_50SW, paragraph 9.1.9.</p> <p>REMARKS:</p>			
<p>7.5.6. Is a paper copy of your approved AFRIMS file plan located in the first file of your current master file plan? Ref: AFMAN 37-123, Management of Records, paragraph 2.2.1 and AFI 33-322_50SW, paragraph 9.1.8.2.</p> <p>REMARKS:</p>			

7.6. AFRIMS File Plan Changes & Re-Approval – CRITICAL ITEM:	YES	NO	N/A
7.6.1. When minor changes are made in pencil to your master file plan (paper copy), do you update the changes in AFRIMS? Ref: AFMAN 37-123, Management of Records , paragraph 2.2.1.2 and AFI 33-322_50SW, paragraph 9.1.8.3.			
REMARKS:			
7.6.2. When you make changes to your AFRIMS file plan do you submit the changes to the Schriever AFB Records Manager for re-approval? AFMAN 37-123, Management of Records , Chapter 2, paragraph 2.2.1.2 and AFI 33-322_50SW, paragraph 9.1.8.3.			
REMARKS:			
7.6.3. Have you sent a signed copy of the re-approved AFRIMS file plan to your FARM for inclusion in the FARM continuity binder? Ref: AFI 33-322_50SW, paragraph 9.1.8.3.			
REMARKS:			
7.6.4. Is a paper copy of your re-approved AFRIMS file plan located in the first file of your current master file plan? Ref: AFMAN 37-123, Management of Records , paragraph 2.2.1 and AFI 33-322_50SW, paragraph 9.1.8.3.			
REMARKS:			
Section 8. File Cut-off Procedures.			
<i>Chiefs of the Office of Record and Record Custodians must cut off files at a specific time after an event or completed action. Ref: AFMAN 37-123, Management of Records, paragraph 2.3. The Chief of the Office of Record makes sure that record custodians' review the files at least annually, cut off the files, and separate active files from the inactive files. Ref: AFMAN 37-123, Management of Records, paragraph 4.4.</i>			
8.1. File Cut-off Procedures - CRITICAL ITEMS:	YES	NO	N/A
8.1.1. Are you ensuring the files in your AFRIMS file plan are cut off and disposed of according to the disposition instructions in Air Force Records Disposition Schedule? Ref: AFMAN 37-123, Management of Records , paragraph 4.4.			
REMARKS:			

8.1.2. Are you maintaining active records separately from inactive records? Ref: AFMAN 37-123, Management of Records , paragraph 2.3, 3.7.2 and paragraph 4.4.			
REMARKS:			
8.1.3. Do you protect records from unauthorized disclosure? Ref: AFMAN 37-123, Management of Records , paragraph 2.3 and paragraph 4.4 attachment 2 paragraph 3d.			
REMARKS:			
8.1.4. Do you protect records from unauthorized alterations? Ref: AFMAN 37-123, Management of Records , paragraph 2.3 and paragraph 4.4.			
REMARKS:			
8.1.5. Do you protect records from unauthorized destruction? Ref: AFMAN 37-123, Management of Records , paragraph 2.3 and paragraph 4.4.			
REMARKS:			
Section 9. Supplies, Equipment and Arrangement of Records.			
<i>Use the most economical filing supplies and equipment possible. Arrange records to provide safe and easy access for workers. Ref: AFMAN 37-123, Management of Records, Chapter 3 and Chapter 5.</i>			
9.1. Filing Supplies and Equipment - Non-CRITICAL ITEM:	YES	NO	N/A
9.1.1. Do you use the most economical filing supplies and equipment? Ref: AFMAN 37-123, Management of Records , paragraph 5.1.			
REMARKS:			
9.2. Standard Filing Supplies - NON-CRITICAL ITEMS:	YES	NO	N/A
9.2.1. Do you use AFMAN 37-123, Management of Records , Table 5.1 to identify the standard guide cards, file folders and labels to be used? Ref: AFMAN 37-123, Management of Records , paragraph 5.2.1.			
<i>Use Avery 5161 and Avery 5163 label when printing AFRIMS labels.</i>			
REMARKS:			

9.2.2. If you use hanging file folders, do you have a waiver letter located in the first file of your master file plan, authorizing the use of hanging file folders? Ref: AFMAN 37-123, <i>Management of Records</i> , paragraph 5.3.			
REMARKS:			
9.3. Standard Filing Equipment - Non-CRITICAL ITEMS:	YES	NO	N/A
9.3.1. Is the federally approved letter-size, upright, five-drawer metal filing cabinet, or the upright, key-lock, five-drawer filing cabinet being used as the filing equipment for unclassified material? Ref: AFMAN 37-123, paragraph 5.3.			
REMARKS:			
9.3.2. If you do not use either of the federally approved filing cabinets, do you have a waiver letter located in the first file of the master file plan, authorizing another type of filing equipment? Ref: AFMAN 37-123, <i>Management of Records</i> , paragraph 5.3.			
REMARKS:			
9.4. Office Arrangement - NON-CRITICAL ITEM:	YES	NO	N/A
9.4.1. Do you arrange records so that they provide safe and easy access for workers? Ref: AFMAN 37-123, <i>Management of Records</i> , paragraph 3.1.			
REMARKS:			
9.5. Drawer Label – CRITICAL ITEMS.	YES	NO	N/A
9.5.1. Do you label the file drawers with information to identify the contents of the drawer? Ref: AFMAN 37-123, <i>Management of Records</i> , paragraph 3.7.6.			
REMARKS:			

9.5.2. Do you identify the file drawer as ACTIVE and INACTIVE on the drawer label if maintaining both sets in a single drawer? Ref: AFMAN 37-123, <i>Management of Records</i> , paragraph 3.7.6.			
REMARKS:			
9.6. Disposition Guide Cards - CRITICAL ITEMS:	YES	NO	N/A
9.6.1. Are you using disposition guide cards with the disposition control labels affixed to each record series listed on the AFRIMS file plan? Ref: AFMAN 37-123, <i>Management of Records</i> , paragraph 3.7.2 (See Figure 3.1).			
REMARKS:			
9.6.2. Do you place disposition guide cards in front of each record series in the same sequence shown on the AFRIMS file plan? Ref: AFMAN 37-123, <i>Management of Records</i> , paragraph 3.7.2 (See Figure 3.1).			
REMARKS:			
9.6.3. Do you place the disposition control labels consistently throughout the AFRIMS file plan? Ref: AFMAN 37-123, <i>Management of Records</i> , paragraph 3.7.2 (See Figure 3.1).			
REMARKS:			
9.6.4. Do you use disposition guide cards with the inactive files? Ref: AFMAN 37-123, <i>Management of Records</i> , paragraph 3.7.2 (See Figure 3.1).			
REMARKS:			
9.7. AFRIMS Generated Folder Labels – NON-CRITICAL ITEM:	YES	NO	N/A
9.7.1. Do you use AFRIMS-generated labels for each records series (or subdivision) listed on the file plan? Ref: AFMAN 37-123, <i>Management of Records</i> , paragraph 3.7.4.			
REMARKS:			

9.8. Folder Labels – NON-CRITICAL ITEMS:	YES	NO	N/A
9.8.1. Do you ensure that all folder labels are placed on the file folders? Ref: AFMAN 37-123, <i>Management of Records</i> , paragraph 3.7.4. REMARKS:			
9.8.2. Do you have the files disposition control labels and folder labels arranged in the file drawer in the sequence shown on the AFRIMS file plan? Ref: AFMAN 37-123, <i>Management of Records</i> , paragraph 3.5 (See Figure 3.1). REMARKS:			
9.8.3. Do you include the cut off year, Calendar Year (CY) or Fiscal Year (FY) on the folder labels: Ref: AFMAN 37-123, <i>Management of Records</i> , paragraph 3.7.4. REMARKS:			
9.9. Basic Filing Arrangement - NON-CRITICAL ITEMS:	YES	NO	N/A
9.9.1. When filed in a drawer, do you use folders to group related paper records together for each record series (or subdivision) on the file plan? Ref: AFMAN 37-123, <i>Management of Records</i> , paragraph 3.7.3. REMARKS			
9.9.2. Do you separate records series for ease of filing and retrieving without separate indexing systems? Ref: AFMAN 37-123, <i>Management of Records</i> , paragraph 3.2. REMARKS:			
9.9.3. Do you subdivide volumes of records series for ease of filing? Ref: AFMAN 37-123, <i>Management of Records</i> , paragraph 3.2. REMARKS:			

9.9.4. Unless directives specify otherwise, are you using one of the six (numerical, chronological, geographical, organizational, alphabetical or subjective) filing procedures? Ref: AFMAN 37-123, Management of Records , paragraph 3.2.			
REMARKS:			
9.10. General Correspondence - NON-CRITICAL ITEMS:	YES	NO	N/A
9.10.1. If General Correspondence files are included in the AFRIMS file plan, are you keeping them to a minimum? Ref: AFMAN 37-123, Management of Records , paragraph 3.3.			
REMARKS:			
9.11. Transitory – NON-CRITICAL ITEM:	YES	NO	N/A
9.11.1. If transitory files are being maintained in the master file plan, are you cutting them off according to the disposition instructions in Table and Rule 37-11 R 04.00? Ref: AFMAN 37-123, Management of Records , paragraphs 3.7.3 and 3.7.4 (See Figure 3.1).			
REMARKS:			
9.12. Files Located Outside The Master File Drawer – CRITICAL ITEM:	YES	NO	N/A
9.12.1. When files are not kept in the main file drawer behind a disposition guide card do you identify in the location column of AFRIMS where the file is located? Ref: AFMAN 37-123, Management of Records , paragraphs 2.2 and 3.7.1.			
REMARKS:			
9.12.2. When files are kept away from the main file drawer do you place disposition control labels in an obvious location in the container or binder where the records are actually stored? Ref: AFMAN 37-123, Management of Records , paragraph 3.7.1.			
REMARKS:			

9.13. Bulky Folders – NON-CRITICAL ITEM:	YES	NO	N/A
9.13.1. If the contents of a folder become too bulky, for easy use, do you use additional folders as necessary? Ref: AFMAN 37-123, <i>Management of Records</i> , paragraph 3.7.4.			
REMARKS:			
9.14. Multiple Folders – NON-CRITICAL ITEMS:	YES	NO	N/A
9.14.1. If you use additional file folders, do you affix folder labels on each folder? Ref: AFMAN 37-123, <i>Management of Records</i> , paragraph 3.7.4.			
REMARKS:			
9.14.2. Do you number each folder label consecutively, i.e., 1, 2, 3...? Ref: AFMAN 37-123, <i>Management of Records</i> , paragraph 3.7.4.			
REMARKS:			
9.15. Mark Records for Filing - CRITICAL ITEMS:	YES	NO	N/A
9.15.1. Are you marking (written in pencil) the record copy to be filed in the upper right hand corner of the record with the word “file” and item number of the record series, the letter or number of the subdivisions and subject identification to show where to file the record? Ref: AFMAN 37-123, <i>Management of Records</i> , paragraph 4.1.1 (See Figure 4.1).			
REMARKS:			
9.15.2. Do you initial the record copy to be filed in the upper right hand corner? Ref: AFMAN 37-123, <i>Management of Records</i> , paragraph 4.1.1 (See Figure 4.1).			
REMARKS:			

9.16. Filing Classified Records - CRITICAL ITEMS:	YES	NO	N/A
<p>9.16.1. Do you maintain classified records in a separate location from the main files on the same subject? Ref: AFMAN 37-123, <i>Management of Records</i>, paragraphs 4.2, 4.3 and DOD Regulation 5200.1-R/AFP 31-4, <i>Information Security Program</i>.</p> <p>REMARKS:</p>			
<p>9.16.2. Do you utilize cross-reference sheets (OF 21 replaced by DD Form 2861) to identify the location of classified records that are not filed in the master file plan? Ref: AFMAN 37-123, <i>Management of Records</i>, paragraphs 4.2, 4.3 and DoD 5200.1-R/AFP 31-4, <i>Information Security Program</i>.</p> <p><i>Do not make any classified entries on the cross-reference sheets.</i></p> <p>REMARKS:</p>			
<p>9.16.3. Do you label the file drawers (safe or vault) with information to identify the contents of the drawer? Ref: AFMAN 37-123, <i>Management of Records</i>, paragraph 3.7.6 (See Figure 3.1).</p> <p><i>Do not make any classified entries on the drawer label.</i></p> <p>REMARKS:</p>			
<p>9.16.4. Do you identify the file drawer (safe or vault) as ACTIVE and INACTIVE on the drawer label if maintaining both sets in a single drawer? Ref: AFMAN 37-123, <i>Management of Records</i>, paragraph 3.7.6.</p> <p><i>Do not make any classified entries on the drawer label.</i></p> <p>REMARKS:</p>			
<p>9.16.5. Do you place duplicated disposition guide cards in front of each classified record series? Ref: AFMAN 37-123, <i>Management of Records</i> paragraphs 3.7, 4.2, 4.3 and DoD 5200.1-R/AFP 31-4, <i>Information Security Program</i>.</p> <p>REMARKS:</p>			

9.16.6. Do you ensure that duplicate folder labels are placed on the classified file folders? Ref: AFMAN 37-123, Management of Records , paragraphs 3.7.4 and 4.3.			
REMARKS:			
9.16.7. If a file with more than one folder is classified, do the labels you affix on each folder list the highest classification of the contents? Ref: AFMAN 37-123, Management of Records , paragraphs 2.2.4, 3.7.4, 4.3 and DoD 5200.1-R/AFPD 31-4, Information Security Program .			
REMARKS:			
9.17. Charge-Out-Records - NON-CRITICAL ITEMS:	YES	NO	N/A
9.17.1. Do you use a Charge Out Record (AF Form 614 or 614a) when a folder is removed from the main filing cabinet? Ref: AFMAN 37-123, Management of Records , paragraph 3.6.			
REMARKS:			
Section 10. Managing Electronic Media.			
<i>Records Custodians are required to make sure that electronic records are identified on the AFRIMS file plan. Accurate and complete external and internal labeling is required. Applies to all electronic media types, whether on individual disks, diskettes, CD-ROMs and tapes. Ref: AFMAN 37-123, Management of Records, paragraphs 7.12.</i>			
10.1. Identified Electronic Media – CRITICAL ITEMS:	YES	NO	N/A
10.1.1. Do you identify all electronic media and their location on the AFRIMS file plan? Ref: AFMAN 37-123, Management of Records , paragraphs 2.2 and 7.20.			
REMARKS:			

10.2. Electronic Files Located Outside The Master File Plan – CRITICAL ITEMS:	YES	NO	N/A
10.2.1. Have you updated AFRIMS to ensure that electronic media are referenced in the location column of your AFRIMS file plan? Ref: AFMAN 37-123, <i>Management of Records</i> , Chapter 2 and Chapter 7. REMARKS:			
10.2.2. Do you utilize cross-reference sheets (DD Form 2861 replaced OF 21) to identify electronic media that are not located in the main filing cabinet? Ref: AFMAN 37-123, <i>Management of Records</i> , paragraphs 4.2 and 7.20. REMARKS:			
10.2.3. Is the DD Form 2861 placed in a folder behind the disposition guide card located in the main file cabinet? Ref: AFMAN 37-123, <i>Management of Records</i> , paragraph 4.2. REMARKS:			
10.3. AFRIMS Media Labels – CRITICAL ITEMS:	YES	NO	N/A
10.3.1. Are you using the AFRIMS generated labels for each electronic media listed on your AFRIMS file plan? Ref: AFMAN 37-123, <i>Management of Records</i> , paragraphs 2.1.2 and 7.12. REMARKS:			
10.3.2. Are you making sure that all AFRIMS generated labels are affixed to each container that contains electronic media? Ref: AFMAN 37-123, <i>Management of Records</i> , paragraphs 2.1.2 and 7.12. REMARKS:			

10.4. Accurate Media Label Information – CRITICAL ITEM:	YES	NO	N/A
10.4.1. Are you making sure that the labeling of electronic media is accurate and complete to ensure personnel can identify the contents? Ref: AFMAN 37-123, <i>Management of Records</i> , paragraphs 2.1.2 and 7.12.			
REMARKS:			
10.5. AFRIMS Media Disposition Control Label.			
<i>When the item is the record copy, indicate the kind of non-paper medium, i.e. microfilm, optical disk, diskette, etc. on the file plan. Place the disposition control label on the guide cards, or on containers for floppy disks, diskettes, cassettes, tapes, or other physical media. Ref: AFMAN 37-123, <i>Management of Records</i>, paragraph 2.4.</i>			
10.5. AFRIMS Media Disposition Control Label – CRITICAL IETM:	YES	NO	N/A
10.5.1. Are AFRIMS disposition control labels being utilized to identify the electronic media as listed on the AFRIMS file plan? Ref: AFMAN 37-123, <i>Management of Records</i> , paragraphs 2.1.2 and 3.7.4.			
REMARKS:			
10.5.2. Is the AFRIMS disposition control label affixed to the electronic media such that it will ensure the preservation of the electronic records from unintentional or illegal destruction? Ref: AFMAN 37-123, <i>Management of Records</i> , paragraphs 2.2.2, 7.12, 7.12.1 and 7.12.3.1.			
REMARKS:			
10.6. Self Generated Media Labels - CRITICAL ITEMS:	YES	NO	N/A
10.6.1. Have you generated a label that accurately describes the electronic media with a title, organizational unit name, date created, location, contents identification of hardware and software used? Ref: AFMAN 37-123, <i>Management of Records</i> , paragraphs 7.12, 7.12.1, 7.12.2, 7.12.3 and 7.13.2.1.2.			
REMARKS:			

<p>10.6.2. Are you making sure that a self-generated media label is affixed to each container that contains electronic media? Ref: AFMAN 37-123, <i>Management of Records</i>, paragraphs 2.1.2 and paragraph 7.12.1.</p> <p>REMARKS:</p>			
<p>10.6.3. Have you reviewed each self-generated label to ensure that all information accurately describes the electronic media: title, organizational unit name, date created, location, contents identification? Ref: AFMAN 37-123, <i>Management of Records</i>, paragraphs 7.12.1 and 7.12.2.</p> <p>REMARKS:</p>			
<p>10.7. Electronic Classified Media - CRITICAL ITEMS:</p>	<p>YES</p>	<p>NO</p>	<p>N/A</p>
<p>10.7.1. Are you marking the self-generated labels, which identify the classified electronic media, with the highest classification of the contents? Ref: AFMAN 37-123, <i>Management of Records</i>, paragraph 4.3 and DOD Regulation 5200.1-R/AFP 31-4, <i>Information Security Program</i>.</p> <p><i>The following classification labels are recommended to identify the highest classification of the contents: SF Form 706, Top Secret ADP Media Classification Label; SF Form 707, Secret ADP Media Classification Label; or SF Form 708, Confidential ADP Media Classification Label? Ref: AFMAN 37-123, Management of Records, paragraph 7.12.3.2.</i></p> <p>REMARKS:</p>			
<p>10.7.2. Are you making sure that the classification label, that identifies the highest classification of the contents, is affixed to each container that contains classified electronic media? Ref: AFMAN 37-123, <i>Management of Records</i>, paragraphs 2.1.2, 7.12.1 and 7.12.3.2.</p> <p>REMARKS:</p>			

10.8. Electronic Media That Contains Privacy Act Information – CRITICAL ITEM:	YES	NO	N/A
<p>10.8.1. Are you marking the electronic media that contains Privacy Act information, with the AFVA 33-276 (or equivalent)? Ref: AFMAN 37-123, <i>Management of Records</i>, paragraph 7.12.3.3.</p> <p><i>The Privacy Act label, AFVA 33-276 (or equivalent) is to be affixed to each physical medium (diskette, CD-ROM or tape) that contains Privacy Act material. Ref: AFMAN 37-123, Management of Records, paragraph 7.12.3.3.</i></p> <p>REMARKS:</p>			
10.9. Charge-Out-Records - NON-CRITICAL ITEM:	YES	NO	N/A
<p>10.9.1. Do you use a Charge Out Record (AF Form 614 or 614a) when electronic media is removed from its storage location? Ref: AFMAN 37-123, <i>Management of Records</i>, paragraph 3.6.</p> <p>REMARKS:</p>			
Section 11. AF Electronic Records Management Solution (ERMS).			
<p><i>Electronic Records Management Solution provides a standard for preserving, protecting and disposing of official electronic records through their life cycle. Your electronic filing system must function jointly with the paper system by mirroring your current AFRIMS file plan. A copy of the AF Electronic Records Management (ERM) Interim Solution can be found on https://milgov.schriever.af.mil/baseIM/information%20management%20training/new_page_1.htm</i></p>			
11.1. ERMS Designated Storage Area Network (SAN) Drive – NON-CRITICAL ITEM:	YES	NO	N/A
<p>11.1.1. Has your Network Control Center (NCC) dedicated space on the local area network (LAN) for electronic records storage, i.e. O: Drive? Ref: ERMS, paragraph 4.1.1.</p> <p>REMARKS:</p>			

11.2. ERMS SAN Directory Folder – NON-CRITICAL ITEM:	YES	NO	N/A
11.2.1. Has the NCC and your FARM ensured that the SAN drive contains an ERMS file folder dedicated for your organization? Ref: ERMS, paragraph 4.1.2.			
REMARKS:			
11.3. Access to the ERMS Designated Drive – CRITICAL ITEM:	YES	NO	N/A
11.3.1. Have you contacted your Records Manager to obtain access and permissions to your organization's designated ERMS file folder? Ref: AFI 33-322_50SW, paragraph 7.7.6.			
REMARKS:			
11.4. ERMS Stand Alone Computer – <i>If SAN drive is not provided</i> - CRITICAL ITEMS:	YES	NO	N/A
11.4.1. Have you designated a stand-alone computer as the electronic storage space for ERMS if storage space is not provided on a local area network? Ref: ERMS, paragraph 4.1.1.			
REMARKS:			
11.4.2. Geographically Separated Units. Have you forwarded to your FARM a print screen of your most current designated ERMS drive structure? Ref: AFI 33-322_50SW, paragraph 9.1.9.1.			
REMARKS:			
11.5. Identifying Electronic Records – CRITICAL ITEM:	YES	NO	N/A
11.5.1. Have you and your COR identified the electronic records that are to be incorporated into your ERMS file structure? Ref: AFI 33-322, paragraph 8.1 and AFMAN 37-123, <i>Management of Records</i> , Chapter 2, paragraph 2.2.1.			
REMARKS:			

11.6. Creation of ERMS File Plan Folders – CRITICAL ITEM:	YES	NO	N/A
<p>11.6.1. Are you using your AFRIMS approved file plan to create your ERMS file plan folders? Ref: AFMAN 37-123, <i>Management of Records</i>, Chapter 2, paragraph 2.2.1 and ERMS, paragraph 4.1.2.</p> <p><i>Your ERMS must function jointly with AFRIMS by mirroring your current AFRIMS file plan.</i></p> <p>REMARKS:</p>			
11.7. Updated Master File Plan on AFRIMS – CRITICAL ITEM:	YES	NO	N/A
<p>11.7.1. Have you updated AFRIMS so that the electronic records are identified in the location column of the AFRIMS file plan? Ref: AFMAN 37-123, <i>Management of Records</i>, Chapter 2, paragraph 2.2 and ERMS, paragraph 4.2.2.</p> <p>REMARKS:</p>			
11.8. AFRIMS File Plan Re-Approval- CRITICAL ITEMS:	YES	NO	N/A
<p>11.8.1. When you updated your AFRIMS file plan did you submit the changes to the Schriever AFB Records Manager for administrative re-approval? AFMAN 37-123, <i>Management of Records</i>, Chapter 2, paragraph 2.2.1.2 and AFI 33-322_50SW, paragraph 9.1.8.3.</p> <p><i>The AFRIMS file plan is not approved until the RM administratively approves it and the COR signs the file plan (paper copy).</i></p> <p>REMARKS:</p>			

11.9. ERMS File Structure Creation– CRITICAL ITEMS:	YES	NO	N/A
<p>11.9.1. Have you created your ERMS file structure on the designated ERMS SAN or internal drive? Ref: ERMS paragraphs 4.1.2, 4.6, Figure 1a, 1b and Figure 6?</p> <p><i>Your ERMS file structure must mirror your current AFRIMS file plan structure.</i></p> <p>REMARKS:</p>			
<p>11.9.2. Are you following the instructions to create each ERMS file folder? Ref: ERMS paragraphs 4.1.2, 4.6, Figure 1a, 1b and Figure 6?</p> <p>REMARKS:</p>			
11.10. ERMS Active File Folder Creation– CRITICAL ITEMS:	YES	NO	N/A
<p>11.10.1. Are your ERMS active file folders labeled as identified on your approved AFRIMS file plan? Ref: AFMAN 37-123, Management of Records, Chapter 2 and ERMS paragraphs 4.1.2, 4.6 and Figure 1a and 1b?</p> <p><i>The file number and name of the file folder are required to be identical to your AFRIMS file plan. Underscores “_” are required to be placed between words, leave no blank spaces. For example: XX_File_Folder_Name</i></p> <p>REMARKS:</p>			
<p>11.10.2. Have you created active file folders for each electronic record series that you identified in the location column of your AFRIMS file plan? Ref: AFMAN 37-123, Management of Records, Chapter 2, paragraph 2.2 and ERMS paragraphs 4.1.2, 4.6, Figure 1a, 1b and Figure 6?</p> <p>REMARKS:</p>			
<p>11.10.3. Did you create an electronic file box as the first folder? Ref: ERMS paragraphs 4.1.2, 4.6, 4.6.10, Figure 1a, 1b and Figure 6?</p> <p><i>First folder is to be numbered as “00” and named as “Electronic File Box.” Example: 00_Electronic_File_Box</i></p> <p>REMARKS:</p>			

<p>11.10.4. Have you applied the same disposition instructions to electronic records as annotated on AFRIMS file plan? AFMAN 37-123, Management of Records, Chapter 2, paragraphs 2.1.2, 2.3, 2.4 and ERMS paragraphs 4.1.2, 4.6 and Figure 7?</p> <p><i>Your ERMS file folders must mirror your current AFRIMS file plan. Copy disposition instructions from AFRIMS Records Disposition Schedule, paste to a word document, and place in each file folder.</i></p> <p>REMARKS:</p>			
<p>11.11. Populating ERMS File Folders – CRITICAL ITEM:</p>	YES	NO	N/A
<p>11.11.1. Are you filing electronic records in the ERMS file folders corresponding to the subject and the Air Force Records Disposition Schedule (RDS) identified on your AFRIMS file plan? Ref: ERM Solution, paragraphs 4.8.1 and 4.9.1.</p> <p>REMARKS:</p>			
<p>11.12. ERMS Inactive File Folder Creation– CRITICAL ITEM:</p>	YES	NO	N/A
<p>11.12.1. Have you created identical ERMS file folders for your inactive files? Ref: ERMS paragraphs 4.1.2, 4.6, Figure 1a. 1b, Figure 6 and Table 2?</p> <p><i>Your ERMS file structure must mirror your current AFRIMS file plan.</i></p> <p>REMARKS:</p>			
<p>11.13. Office Personnel Access to the ERMS Designated Drive – CRITICAL ITEMS:</p>	YES	NO	N/A
<p>11.13.1. Have you provided to your FARM and Client Support Administrator (CSA) names of your office personnel that require access to your ERMS file structure? Ref: ERMS, paragraphs 4.1.2 and 4.1.3 and AFI 33-322/50SW SUP1, paragraph 9.1.9.2.</p> <p>REMARKS:</p>			

11.13.2. Are the squadron end-users utilizing the designated ERM drive for storing official records? Ref: Ref: ERM Solution, paragraphs 4.8.1 and 4.9.1.			
REMARKS:			
11.14. Train Office Personnel – CRITICAL ITEMS:	YES	NO	N/A
11.14.1. Have you trained office personnel on proper procedures for saving and filing official electronic records? Ref: AF ERM Solution, Attachment 4 and paragraphs 4.2.6, 4.8, 4.9 and AFI 33-322/50SW SUP1, paragraph 9.1.9.2.			
REMARKS:			
11.14.2. Have you created a listing of names of the office personnel you have trained on proper procedures for saving and filing official electronic records? Ref: AFI 33-322/50SW SUP1, paragraph 9.1.9.2.			
REMARKS:			
11.14.3. Have you forwarded a copy of the list of office personnel you trained in Records Management procedures to your FARM? Ref: AFI 33-322/50SW SUP1, paragraph 9.1.9.2.			
REMARKS:			
11.15. Maintaining ERMS Records-CRITICAL ITEM:	YES	NO	N/A
11.15.1. Have you ensured that all official electronic records are maintained according to the instructions in the AF Electronic Records Management (ERM) Solution paragraphs 4.6, 4.7, 4.8, 4.9 and IAW AFMAN 37-123, <i>Management of Records</i> , Chapter 7?			
REMARKS:			

11.16. ERMS File Folder Reviews – CRITICAL ITEM:	YES	NO	N/A
11.16.1. Have you performed periodic random reviews and removed unofficial or non-records housed within your ERMS file structure? Ref: ERMS, paragraph 4.1.2.			
REMARKS:			
11.17. Classified - CRITICAL ITEM:	YES	NO	N/A
11.17.1. Have you taken proper steps to ensure classified information has not been entered into the ERMS file structure? Ref: AFMAN 37-123, <i>Management of Records</i> , paragraph 2.1.1 and ERM Solution, paragraph 2.4, Attachment 1, A1.4, A4.5.4 and Attachment 5, paragraph A4.24.			
REMARKS:			
11.18. Privacy Act (PA) - CRITICAL ITEM:	YES	NO	N/A
11.18.1. Have you taken proper steps to ensure PA material has not been entered into ERMS file structure? Ref: AFMAN 37-123, <i>Management of Records</i> , paragraph 2.1.1 and ERM Solution, Attachment 5, paragraph A4.24.			
REMARKS:			
11.19. Vital Records – CRITICAL ITEMS:	YES	NO	N/A
11.19.1. Have you checked the vital records box for vital electronic records in AFRIMS? Ref: AFMAN 37-123, <i>Management of Records</i> , paragraph 2.2.			
REMARKS:			
11.19.2. Have you identified vital records in your ERMS file folder by typing a “V” or the word “Vital” after the folder title? Ref: ERMS paragraph 4.2.13 and Attachment 5 paragraph A4.31.			
REMARKS:			

11.20. Record E-Mail – CRITICAL ITEMS:	YES	NO	N/A
11.20.1. Is storage and control of record e-mail consistent with ERMS policies? Ref: ERM Solution, Attachment 4 and Attachment 5, paragraphs A4.11 and A4.15. REMARKS:			
11.20.2. Are you making sure that record e-mails are being filed in the ERMS file structure and non-record e-mails are not being retained? Ref: ERM Solution, Attachments 4 and 5 and paragraphs 4.2.4, 4.6.5, 4.9.6. REMARKS:			
11.21. File Cut-off Procedures - NON-CRITICAL ITEM:	YES	NO	N/A
11.21.1. Are you ensuring that your electronic files are cut off, disposed of and retired according to the disposition instructions in Air Force Records Disposition Schedule? Ref: AFMAN 37-123, <i>Management of Records</i> , paragraph 2.1.2) REMARKS:			
Section 12. Staging.			
<i>Records staging areas are storage areas that receive and maintain inactive records in less costly space and equipment than the Air Force uses in current files areas. These facilities keep and dispose of records with a retention period of 8 years or less to eliminate the expense of transporting them to Federal records centers. Ref: AFMAN 37-123, Management of Records, paragraphs 7.13.2.1, AFI 37-138, Records Disposition-Procedures and Responsibilities and Electronic Management System Solution (ERMS) paragraphs 4.6.8 and 4.12.</i>			
12.1. Staging Paper Records - NON-CRITICAL ITEMS:	YES	NO	N/A
12.1.1. Are records with a retention period of greater than two years kept in your inactive file for two years and then sent to your designated staging facility? Ref: AFI 37-138, paragraphs 3.2.1.7, 3.3, 7.1 and Table 3.1, Item 13. REMARKS:			

<p>12.1.2. Are you using the SF 135, <i>Records Transmittal and Receipt</i>, when retiring records to the staging facility? Ref: AFI 37-138, Table 3.1 Note 10, paragraphs 3.2.2, 5.2.2.1 and 6.9.1.</p> <p>REMARKS:</p>			
<p>12.1.3. Have you forwarded the SF 135, <i>Records Transmittal and Receipt</i>, to your FARM for review and assistance in insuring that the SF 135, <i>Records Transmittal and Receipt</i>, is filled out properly, prior to submitting to the Schriever AFB Records Manager? Ref: AFI 37-138, Table 3.1 Note 10, paragraphs 3.2.2, 5.2.2.1, 6.9.1 and AFI 33-322/50SW SUP1, paragraphs 9.2 and 9.2.1.</p> <p>REMARKS:</p>			
<p>12.1.4. Are you sending the SF Form 135, <i>Records Transmittal and Receipt</i>, to the RM for review and approval prior to transferring the records to a staging area? Ref: AFI 37-138, Table 3.1, Note 10, paragraphs 3.2.2, 5.2.2.1 and AFI 33-322/50SW SUP1, paragraph 9.2.1.</p> <p>REMARKS:</p>			
<p>12.1.5. Are copies of the SF 135s, <i>Records Transmittal and Receipt</i>, being maintained in the file plan under Table and Rule 37.19 R 03.00? Ref: AFI 37-138, Table 3.1 Note 10, paragraphs 3.2.2, 5.2.2.1 and Air Force Records Disposition Schedule.</p> <p>REMARKS:</p>			

12.2. Staging Electronic Records - NON-CRITICAL ITEMS:	YES	NO	N/A
<p>12.2.1. Are electronic records with retention greater than 10 years sent to your designated staging facility? Ref: ERM Solution, paragraphs 4.6.8.</p> <p><i>E-records with retention of 3 to 10-years are exempt from being sent to the staging facility</i></p> <p>REMARKS:</p>			
<p>12.2.2. Are you using the SF 135, Records Transmittal and Receipt, when retiring ERMS records to the staging facility? Ref: AFI 37-138, Table 3.1 NOTE 10, paragraphs 3.2.2, 5.2.2.1 and ERM Solution, paragraph 4.6.8.</p> <p>REMARKS:</p>			
<p>12.2.3. Have you contacted the RM to assist you in insuring that the SF 135, Records Transmittal and Receipt, is filled out properly, when staging is required? Ref: AFI 37-138, paragraphs 3.2.2, 5.2.2.1, 6.9.1 and AFI 33-322/50SW SUP1, paragraphs 9.2 and 9.2.1.</p> <p>REMARKS:</p>			
<p>12.2.4. Are you sending the SF Form 135, Records Transmittal and Receipt, to the RM for review prior to transferring the electronic records to a staging area? Ref: ERM Solution, paragraphs 4.6.8, AFI 37-138, Table 3.1 NOTE 10, paragraphs 3.2.2, 5.2.2.1 and AFI 33-322/50SW SUP1, paragraphs 9.2 and 9.2.1.</p> <p>REMARKS:</p>			
<p>12.2.5. Are copies of the SF 135s, Records Transmittal and Receipt, being maintained in the file plan under Table and Rule 37.19 R 03.00? Ref: AFI 37-138, paragraph 3.2.2, 5.2.2.1 and Air Force Records Disposition Schedule.</p> <p>REMARKS:</p>			
<p>Send a completed copy of this 50SWCL 33-01, 50th Space Wing Checklist, to your FARM.</p> <p>DATE SENT: _____</p>			